

CALEB N. GRIFFIN

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CURRENT ACADEMIC APPOINTMENT

University of North Carolina School of Law | Chapel Hill, North Carolina
Associate Professor of Law, July 2024 to Present

Courses: Contracts
 Corporate Governance
 Secured Transactions

EDUCATION

Harvard Law School | Cambridge, Massachusetts
J.D., *cum laude*, May 2014

Oklahoma Christian University | Oklahoma City, Oklahoma
B.B.A., Finance, *summa cum laude*, May 2011

PUBLICATIONS

LAW REVIEWS:

Open Proxy, TUL. L. REV. (Forthcoming 2024)

Extrinsic Value, 75 ALA. L. REV. 423 (2023)

Humanizing Corporate Governance, 75 FLA. L. REV. 689 (2023)

Contracting as a Class, 48 B.Y.U. L. REV. 1185 (2023)

Systemically Important Platforms, 107 CORNELL L. REV. 445 (2022)

We Three Kings: Disintermediating Voting at the Index Fund Giants, 79 MD. L. REV. 954 (2020)

Margins: Estimating the Influence of the Big Three on Shareholder Proposals, 73 SMU L. REV. 409 (2020)

Environmental & Social Voting at Index Funds, 44 DEL. J. CORP. L. 167 (2020)

Mergers Aren't So Black & White, 43 DEL. J. CORP. L. 213 (2019)

Incentives, Culture, and Change in American Legal Education, 87 U. CIN. L. REV. 325 (2019)

The Hidden Cost of M&A, 2018 COLUM. BUS. L. REV. 70-129 (2018)

OTHER:

A Deep Dive Into Pass-Through Voting, TUMELO (February 2023) (contributor)

SEC Proxy Disclosure Proposal Won't Protect Investors' Interests, BLOOMBERG LAW (December 2021) (with Andrew Vollmer & Brian Knight)

Proxy Voting by Mutual Fund Investment Advisors, Public Interest Comment, SECURITIES AND EXCHANGE COMMISSION (November 2021) (with Andrew Vollmer & Brian Knight)

Margins: Estimating the Influence of the Big Three on Shareholder Proposals, OXFORD BUSINESS LAW BLOG (July 2020)

Environmental and Social Voting at the Big Three, COLUMBIA LAW SCHOOL BLUE SKY BLOG (June 2020)

Reforming Index Fund Voting, GEORGE MASON UNIVERSITY MERCATUS CENTER (February 2020)

We Three Kings: Democratizing Voting at the Index Fund Giants, OXFORD BUSINESS LAW BLOG (May 2019)

SELECTED ACADEMIC WORKSHOPS & PRESENTATIONS

Presenter, Business Law Works-in-Progress, "The Weighting Game," AALS 2024, Washington, D.C., January 2024.

Presenter, Panel of Young Legal Scholars Paper Competition Winners, "The Weighting Game," AALS 2024, Washington, D.C., January 2024.

Selected Presenter, University of Pennsylvania Institute for Law & Economics Junior Faculty Workshop, "The Anti-Efficient Index Fund," Philadelphia, PA, December 7, 2023.

Presenter, Tenth Annual Corporation & Securities Litigation Workshop, "Extrinsic Value," Vanderbilt University Law School, Nashville, TN, September 8-9, 2023.

Presenter, 2023 SEALS Annual Conference, "Insider Trading by the State," Southeastern Association of Law Schools, Boca Raton, FL, July 29, 2023.

Presenter, 2023 National Business Law Scholars Conference, "The Anti-Efficient Index Fund," University of Tennessee College of Law, Knoxville, TN, June 16, 2023.

Presenter, Fordham Corporate Law Center, "The Value Triad," Fordham University School of Law, New York, NY, February 2023.

Presenter, Emerging Voices in Securities Law, "The Value Triad," AALS 2023, San Diego, CA, January 2023.

Presenter, Panel of Young Legal Scholars Paper Competition Winners, "The Value Triad," AALS 2023, San Diego, CA, January 2023.

Presenter, Faculty Speaker Series, “The Market for Investment,” Pepperdine University Caruso School of Law, Malibu, CA, November 7, 2022.

Presenter, 5th Annual Conference on Law and Macroeconomics, “The Market for Investment,” The Wharton School, University of Pennsylvania, October 21, 2022.

Presenter, 2022 National Business Law Scholars Conference, “Investor Preferences & Corporate Governance,” University of Oklahoma College of Law, Norman, OK, June 17, 2022.

Presenter, Workshop on Systemic Importance & Tech, “Systemically Important Platforms,” Harvard Kennedy School of Government & University of Georgia, June 7, 2022.

Presenter, Association of American Law Schools Conference, “Consensus, Fundamental Value, & Equity Demand Elasticity,” January 7, 2022.

Presenter, Central States Law Schools Association Annual Scholarship Conference, “What Investors Want,” Washburn University School of Law, September 25, 2021.

Presenter, International Corporate Governance Conference, “Corporate Conscience,” Cardiff Corporate Governance Research Group, Cardiff University, September 17, 2021.

Presenter, 2021 SEALS Annual Conference, “Insider Trading as a Symptom,” Southeastern Association of Law Schools, August 1, 2021.

Presenter, Association of American Law Schools Conference, “Market Expectations & Incentives in Insider Trading,” January 7, 2021.

Presenter, Southeastern Association of Law Schools Conference, “Indirect Outsider Trading,” Boca Raton, Florida, August 2, 2020.

Presenter, Belmont University College of Law, “The Landscape of Index Fund Voting,” Nashville, Tennessee, February 14, 2020.

Presenter, Works-in-Progress Panel, “We Three Kings: Disintermediating Voting at the Index Fund Giants,” AALS 2020, Washington, D.C., January 3, 2020.

Roundtable Panelist, *Revisiting Corporate Social Responsibility*, Charlotte, North Carolina, October 25-26, 2019.

Presenter, 2018 Mid-Atlantic Junior Faculty Forum, “Quantifying Price Effects in M&A,” University of Richmond School of Law, Richmond, Virginia, May 16, 2018.

Presenter, 2017 Southeastern Association of Law Schools Conference, “Rethinking Shareholder Wealth Maximization in M&A,” Boca Raton, Florida, August 2, 2017.

Presenter, 2017 Developing Ideas Conference, “Proxy Advisors: A Stakeholder Analysis,” University of Kentucky, Lexington, Kentucky, May 17, 2017.

PROFESSIONAL SERVICE

CONGRESSIONAL TESTIMONY:

Testimony of Caleb N. Griffin Before the United States Senate Committee on Banking, Housing, and Urban Affairs on Considering the Index Fund Voting Process (June 2022) ([link](#))

Questions for the Record, submitted by Senator Kyrsten Sinema and Senator Thom Tillis (July 2022)

PUBLIC SERVICE:

American Bar Association | Chicago, Illinois
Chair, Stakeholder Engagement Subcommittee
January 2022—Present

EDITORIAL ACTIVITY:

Outside Reviewer, FINANCE RESEARCH LETTERS

LAW SCHOOL SERVICE

UNIVERSITY OF ARKANSAS: Chair, Finance Committee
Chair, Awards Committee
Member, ABA Site Visit Committee
Member, Appointments Committee

BELMONT UNIVERSITY: Elected Member, University Student Life Council
Member, Faculty Recruitment Committee
Member, Curriculum Committee
Faculty Supervisor, Field Placement Program
Faculty Advisor, Independent Study Research

REGENT UNIVERSITY: Faculty Advisor, James Kent American Inn of Court
Faculty Advisor, Business Law Society
Member, Finance Committee
Member, Dean Search Committee
Member, Instruction & Assessment Committee
Member, Academic Policies & Procedures Committee
Member, ABA Variance Committee
Member, Bar Preparation Committee
Member, Appointments Committee

PRIOR PROFESSIONAL EXPERIENCE

University of Arkansas School of Law | Fayetteville, Arkansas
Assistant Professor, June 2021 to June 2024

Courses: Business Organizations
Contracts
Corporate Governance Seminar
Mergers & Acquisitions

Awards: Dean's Circle Award for Scholarship, 2023

Belmont University College of Law | Nashville, Tennessee
Assistant Professor, 2019 to 2021

Courses: Contracts
 Business Associations
 Secured Transactions

Regent University School of Law | Virginia Beach, Virginia
Assistant Professor, 2016 to 2019

Courses: Business Associations
 Secured Transactions
 Business Acquisitions & Transactions
 Individual Federal Income Tax

Awards: 2L/3L Professor of the Year, 2018 & 2019

Vinson & Elkins LLP | Houston, Texas
Associate, 2014 to 2016

OTHER PROFESSIONAL INFORMATION

Bar Admission: Texas (inactive status)